



## INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

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<table style="width: 100%; border: none;"> <tr> <td style="width: 50%; vertical-align: top; border: none; padding: 5px;"> <b>(21) International Application Number:</b> PCT/US92/05347  <b>(22) International Filing Date:</b> 24 June 1992 (24.06.92)  <b>(30) Priority data:</b>            720,638                      25 June 1991 (25.06.91)                      US  <b>(71) Applicant:</b> MICROCOM SYSTEMS, INC. [US/US]; 222 Delaware Avenue, Wilmington, DE 19899 (US).  <b>(72) Inventors:</b> KLOC, Dennis ; 37 Zamora Street, Jamaica Plain, MA 02130 (US). CAREY, Richard, A. ; 19 Indian Brook Road, Ashland, MA 01721 (US).  <b>(74) Agent:</b> KUSMER, Toby, H.; Schiller &amp; Kusmer, One State Street, Boston, MA 02109 (US).         </td> <td style="width: 50%; vertical-align: top; border: none; padding: 5px;"> <b>(81) Designated States:</b> AU, CA, JP, KR, European patent (AT, BE, CH, DE, DK, ES, FR, GB, GR, IT, LU, MC, NL, SE).   <b>Published</b>  <i>With international search report.            Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.</i> </td> </tr> </table>			<b>(21) International Application Number:</b> PCT/US92/05347 <b>(22) International Filing Date:</b> 24 June 1992 (24.06.92) <b>(30) Priority data:</b> 720,638                      25 June 1991 (25.06.91)                      US <b>(71) Applicant:</b> MICROCOM SYSTEMS, INC. [US/US]; 222 Delaware Avenue, Wilmington, DE 19899 (US). <b>(72) Inventors:</b> KLOC, Dennis ; 37 Zamora Street, Jamaica Plain, MA 02130 (US). CAREY, Richard, A. ; 19 Indian Brook Road, Ashland, MA 01721 (US). <b>(74) Agent:</b> KUSMER, Toby, H.; Schiller & Kusmer, One State Street, Boston, MA 02109 (US).	<b>(81) Designated States:</b> AU, CA, JP, KR, European patent (AT, BE, CH, DE, DK, ES, FR, GB, GR, IT, LU, MC, NL, SE).  <b>Published</b> <i>With international search report.            Before the expiration of the time limit for amending the claims and to be republished in the event of the receipt of amendments.</i>
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<b>(54) Title:</b> METHOD AND APPARATUS FOR EFFECTING EFFICIENT TRANSMISSION OF DATA				
<pre> graph LR     10[TRANSMITTING COMPUTER] --&gt; 11[TRANSMITTING MODEM]     11 -- 14 COMMUNICATION CHANNEL --&gt; 13[RECEIVING MODEM]     13 --&gt; 12[RECEIVING COMPUTER]           </pre>				
<b>(57) Abstract</b>  <p>A telecommunications system (11) intermittently checks and, if necessary, adjusts the power level of the transmitted data as a function of the transmission characteristics of the transmission line (14) so as to optimize transmission performance.</p>				

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METHOD AND APPARATUS FOR EFFECTING  
EFFICIENT TRANSMISSION OF DATA

1           This invention relates generally to a  
2 telecommunications system adapted to transmit digital data,  
3 and more particularly to a system which intermittently  
4 checks and, if necessary, adjusts the power level of the  
5 transmitted data as a function of transmission  
6 characteristics of the transmission line so as to optimize  
7 transmission performance.

8

9

BACKGROUND OF THE INVENTION

10           While microcomputers were once only used as dedicated  
11 and completely isolated devices, they are now used for a  
12 wide range of applications, many of which require  
13 microcomputers to communicate with each other or with  
14 larger centrally located computers. This communication  
15 frequently is accomplished over voice grade communication  
16 channels. Modems are used to convert digital data from the  
17 computer to analog data for transmission over these voice  
18 grade communication channels and subsequent redigitization  
19 upon receipt. As signal processing techniques have  
20 advanced, modem technology has also advanced providing the  
21 capability of transmitting at higher speeds over voice  
22 grade channels. Problems maintaining the data integrity  
23 across the communications channel have developed with such  
24 high speed communication because the higher speed data  
25 transmission methods are more vulnerable to noise  
26 interference within the communication channel. To  
27 facilitate higher speed communications, communications  
28 protocols have been developed to detect and correct data  
29 transmission errors and ensure data integrity across the  
30 channel.

31           A communication protocol is basically a set of rules  
32 that defines how communicating devices interact. For one  
33 device to transfer data successfully to another, both  
34 devices must observe the same protocol. Typically, a

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1 protocol specifies when to send a message, how to format  
2 the information in the message, and at the other end, how  
3 to acknowledge the receipt of the message.

4 Simple physical connect protocols are concerned only  
5 with hardware configurations. Establishing the basic  
6 physical connection between two modems requires that a  
7 particular series of steps be followed. The originating  
8 modem initiates its sending sequence, and the telephone  
9 number representing the electronic address of the receiving  
10 modem is formatted as a series of pulses or tones and sent  
11 to the telephone network. The receiving modem senses the  
12 incoming call as a relatively high voltage (sufficient to  
13 cause a phone to ring) and interprets this as a request to  
14 establish a connection. The modems then proceed to  
15 establish the physical connection via a series of signal  
16 exchanges that result in a particular connection protocol.  
17 Such a connection is possible because both modems use the  
18 same physical connect protocol. These basic physical  
19 connect protocols are fairly standard. CCITT  
20 specifications V.22, V.22bis, V.29, V.32 and V.32bis are  
21 common as well as Bell 212A. These physical level  
22 protocols do not ensure error free communication.

23 Connecting two computers is only a small part of the  
24 communications work necessary for accurate data transfer.  
25 As described in greater detail below, the transmission  
26 medium through which the data is sent is often noisy, and  
27 errors can crop up in the transmitted data. These errors  
28 must be detected and corrected. The resources available to  
29 store incoming data also must be passed and matched so that  
30 the recipient is not flooded with data. These concerns,  
31 therefore, go beyond the physical level protocols. A  
32 higher level protocol is required to ensure error free  
33 communications.

34 One protocol which enables error free communications  
35 between modems is the Microcom Networking Protocol (MNP)  
36 which has been developed by Microcom, Inc. of Norwood,  
37 Massachusetts. MNP provides a sophisticated communications

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1 system which includes provisions for both reliable  
2 terminal-type interactive communications and reliable file  
3 transfer. MNP provides sophisticated error checking and  
4 correction as well as data compression. MNP is widely used  
5 to provide error free communications.

6 The MNP protocol, which has been developed principally  
7 for use with microcomputers, includes three layers, and the  
8 use of only three layers enable MNP to provide the  
9 necessary services with the desired space and performance  
10 characteristics for a microcomputer environment. The three  
11 layers or modules are combined to perform a series of  
12 complex functions in a manner in which changes in one  
13 module may not drastically affect another module, as long  
14 as certain parts of the module's interface remain the same.

15 In MNP, each layer is relatively isolated and provides  
16 a specific service. If a change is forced in one layer  
17 (for example, if MNP is modified for use on a new  
18 computer), the change is confined to that layer while the  
19 layer's standard interface to the other layers remains  
20 unchanged. In addition to ensuring machine portability,  
21 MNP's structure allows services provided by one layer to  
22 support those in the layer above. The accumulation of  
23 services is then passed upward, from layer to layer to the  
24 applications program. MNP defines three unique protocol  
25 layers in addition to the physical connection; the link,  
26 the session, and the file protocol layers. The protocol  
27 layers are triggered sequentially from the bottom  
28 (physical) to the top (file transfer).

29 The link layer is responsible for providing reliable,  
30 controlled data transmission over a medium that is  
31 inherently noisy and likely to cause errors. Once a  
32 physical connection is established between two modems, the  
33 link protocol acts as a negotiator causing both devices to  
34 agree on the nature of the link. For example, the link  
35 protocol establishes whether the connection will be half-  
36 or full-duplex, how many data messages can be sent before  
37 confirmation is required, the size of a single data packet,

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1     etc.     As will be more evident hereinafter, the link  
2     protocol utilized in the preferred embodiment is modified  
3     to include the necessary information to carry out the  
4     principles of the present invention. After establishing  
5     values for the above requirements, the link protocol  
6     initiates data transfer, paces the flow of data and, if  
7     necessary, re-transmits data messages that contain errors  
8     due to telephone line noise. The link protocol allows  
9     blocks or packets of data (as opposed to individual bytes)  
10    to be sent synchronously or asynchronously to the receiving  
11    computer. Data transfer is faster when packets are  
12    transmitted synchronously because start and stop characters  
13    are not needed, and as a result, the ratio of data to  
14    control characters regulating the transfer is higher.  
15    Control is possible because of a mainframe-like (framing)  
16    technique in which a block of data is carried from both  
17    ends with specific codes.

18           In order for any communications protocol to facilitate  
19    communications among a wide variety of computers, the  
20    protocol must be able to operate in a number of modes.  
21    These modes include a matched-protocol mode for use by two  
22    communicating devices supporting the same protocol. Such  
23    a matched-protocol mode may provide optimized data  
24    transmission including a number of known optimizing  
25    features such as detecting and correcting errors, data  
26    compression, and optimizing transmission speed. The latter  
27    is achieved in the link layer of the MNP protocol by  
28    sensing the error rate. Should the error rate be too high  
29    at the receiving end, the receiving end provides an  
30    indication that the signal to noise ratio is too low for  
31    the attempted modulation rate (i.e., baud rate) so the  
32    transmitting modem downshifts, i.e., transmits at a slower  
33    modulation rate to improve signal quality. Conversely,  
34    should the transmission of data be error free the receiving  
35    modem can instruct the transmitting modem to upshift to a  
36    higher modulation or baud rate so that data can be  
37    transmitted at a higher and more efficient modulation rate

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1 so as to increase data throughput without sacrificing  
2 quality.

3 Certain communication channels, such as cellular  
4 networks, are particularly noisy. The noise levels in the  
5 transmission channels are directly related to the signal to  
6 noise ratio, which in turn is directly related to the  
7 available throughput (the maximum rate at which information  
8 can pass through the particular transmission channel).  
9 Even worse, as transmission of a signal passes from one  
10 cell to another cell in a cellular communications network  
11 the quality of the line can abruptly change. This wide  
12 range of line quality can result in demodulation errors.  
13 Worse, the line temporarily can disconnect resulting in  
14 disruption in the line. While such disruption can be  
15 acceptable for voice communications it can be disastrous  
16 for data transmission since the carrier signal, and thus a  
17 great deal of transmitted data, can be lost. In the latter  
18 situation the two modems must be "retrained" so that the  
19 two modems are suitably resynchronized with one another and  
20 data can be transmitted between the two.

21 This problem is exacerbated because companding  
22 techniques often are utilized in cellular communications  
23 because the dynamic range of the transmission medium is  
24 particularly small (the power level range between a floor  
25 where noise will mask a transmitted signal, and a ceiling  
26 where transmitted signals saturate and thus distort).  
27 Accordingly, signals are first dynamically compressed prior  
28 to being transmitted through the transmission channel, and  
29 subsequently dynamically expanded when received from the  
30 transmission medium so as to preserve the dynamic range of  
31 the original signal. When compressing a signal the gain  
32 impressed on the transmitted signal is automatically  
33 controlled as a function of the power level of the original  
34 signal so that the power level is actually boosted for low  
35 power levels and attenuated for high power levels by a  
36 predetermined compression factor (as a function of the  
37 dynamic range of the transmission medium). Thus, a greater

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1 range of power levels of the transmitted signal, once  
2 compressed, can be transmitted within the narrower dynamic  
3 range of the transmission channel. The signal is expanded  
4 in a complementary manner at the receiving modem so that  
5 the signal is restored to its original dynamic range  
6 without distortion or loss. This compression and  
7 complementary expansion factor (i.e., companding factor) is  
8 typically determined by the location of the floor and  
9 ceiling of the dynamic range of the transmission medium,  
10 and for cellular communications is specified in cellular  
11 network standards. It is customary that the power level of  
12 the original signal is preset at a predetermined level  
13 above the noise floor of the transmission channel when  
14 transmitting the signal so as to optimize the transmission  
15 performance. This easily can be done for a communication  
16 channel where the dynamic range and noise floor are fairly  
17 fixed. However, in cellular communications as the  
18 transmission of a signal is passed from one cell to  
19 another, the transmission characteristics of the channel  
20 may change (i.e., the attenuation drop can vary), which in  
21 turn can result in the power level of the received signal  
22 dropping below the noise floor. This can result in the  
23 noise masking the signal causing data to be lost or  
24 received in error. Thus, the optimum power level for  
25 transmission through one cellular transmission channel may  
26 not be optimum for another.

27

#### 28 OBJECTS AND SUMMARY OF THE INVENTION

29 It is therefore a principal object of the present  
30 invention to provide an improved system for and method of  
31 transmitting data in which the power level of the  
32 transmitted signal is adaptive to transmission  
33 characteristics of the transmission line so as to optimize  
34 transmission performance.

35 Another object of the present invention is to provide  
36 a system for and method of data transmission in which the  
37 optimum power level of the transmitted signal is

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1     intermittently determined in real time as a function of the  
2     transmission characteristics of the transmission channel.

3     Still another object of the present invention is to  
4     provide a data communications system and method in which  
5     the optimum power level for transmitting signals between  
6     two modems is updated when upshifting or downshifting the  
7     modulation rate, or retraining to resynchronize the modems.

8     Yet another object of the present invention is to  
9     provide an improved data communications system and method,  
10    particularly useful for compressed signals transmitted over  
11    a communications channel, in which the power level of the  
12    transmitted signal is optimized as a function of the  
13    intermittently measured quality of the transmission channel  
14    through which the signal is transmitted.

15    These and other objects of the present invention are  
16    provided by an improved data communications system and  
17    method which intermittently updates, and changes if  
18    necessary, the power level of a transmitted signal as a  
19    function of the location of the noise floor of the  
20    transmission channel and line attenuation so as to  
21    approximate the power level for optimum transmission  
22    performance through the channel and accommodate changes in  
23    transmission characteristics in the channel.

24    Other objects of the invention will in part be evident  
25    and will in part appear hereinafter. The invention  
26    accordingly comprises the processes involving the several  
27    steps and the relation and order of one or more of such  
28    steps with respect to each of the others, and the apparatus  
29    possessing the construction, combination of elements, and  
30    arrangement of parts which are exemplified in the following  
31    detailed disclosure, and the scope of the application of  
32    which will be indicated in the claims.

33

34

#### BRIEF DESCRIPTION OF THE DRAWINGS

35    For a fuller understanding of the nature and objects  
36    of the present invention, reference should be had to the  
37    following detailed description taken in connection with the

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1 accompanying drawings wherein:

2 Fig. 1 is a generalized schematic view of a data  
3 telecommunications system of the type including two modems  
4 incorporating the present invention;

5 Fig. 2 is a schematic view of a modem of the present  
6 invention;

7 Fig. 3 is a graphical illustration showing an example  
8 of a typical relationship of eye quality monitor data and  
9 the signal to noise ratio of the transmission channel for  
10 quadrature amplitude modulated (QAM) signals;

11 Fig. 4 is a graph illustrating the limits of power  
12 level of a transmitted signal through a transmission  
13 channel of a typical cellular network;

14 Fig. 5 is a flow diagram of the steps utilized by the  
15 modem of the present invention in optimizing the  
16 transmitted power level as a function of transmission  
17 characteristics of the transmission line;

18 Fig. 6 is a flow diagram of a subset of steps utilized  
19 by the modem of the present invention relating to the check  
20 line quality step 104 of the flow diagram of Fig. 5; and

21 Fig. 7 is a flow diagram of a further subset of steps  
22 utilized by the modem of the present invention relating to  
23 the update transmit level step 206 and 215 of the flow  
24 diagram of Fig. 6.

25

26 DETAILED DESCRIPTION OF THE PREFERRED EMBODIMENT

27 A basic data telecommunications system incorporating  
28 the present invention is shown in Fig. 1 and includes a  
29 transmitting unit of data terminal equipment (DTE) 10, such  
30 as, but not limited to, a dumb terminal or a microcomputer,  
31 and a receiving unit of DTE 12. An initiating modulator/  
32 demodulator (modem) 11 is connected between unit 10 and a  
33 communication channel (such as, but not limited to a  
34 cellular network transmission channel) and a receiving  
35 modem 13 is connected between unit 12 and communication  
36 channel 14. It should be appreciated that while  
37 designating one computer and modem as initiating and the

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1 other computer and modem as receiving, in reality in most  
2 instances both are capable of transmitting and receiving  
3 data between one another through the transmission channel.  
4 Thus, the designations are for convenience, with the  
5 designations "initiating" and "transmitting" used to mean  
6 that a computer and modem are transmitting data, and the  
7 designation "receiving" used to indicate that a computer  
8 and modem are receiving data from the transmitting modem.

9 A modem of the communication system of the present  
10 invention is shown in greater detail in Fig. 2. The  
11 communications system of the present invention will  
12 normally include at least two modems of the type described  
13 below. For purposes of the following discussion, the modem  
14 of the system will be described with reference to both the  
15 transmitting and receiving modes, and thus will apply to  
16 each of the modems 11 and 13 of Fig. 1. The modem shown in  
17 Fig. 2 includes a DTE-interface 15 which receives data  
18 coming from corresponding DTE unit. Data characters  
19 supplied to the DTE-interface 15 pass through a  
20 communications port 16 of the microprocessor 18 to which  
21 characters are fed either in a serial or parallel fashion.  
22 The microprocessor 18 has connected to it status indicators  
23 20, a program and data memory 22 (the latter including a  
24 buffer memory 23) and parameter setting switches 24.  
25 Timing synthesizing circuitry 26 is also connected to the  
26 microprocessor 18. Data processed by the microprocessor 18  
27 is sent through a modem port 28 to modulation circuits 30  
28 which in turn will pass data through a filter 32 before  
29 applying the signals to the interface 34. In the case of  
30 cellular network transmission, the signal is applied to a  
31 transceiver 36, equipped with a compander for compressing  
32 the transmitted signal before transmitting the signal over  
33 the communication channel 14 to the remote modem. The  
34 modulation circuits 30 preferably are adapted to modulate  
35 the signal to be transmitted in accordance with a  
36 quadrature amplitude modulation (QAM) technique at any one  
37 of serveral modulation or baud rates, which can change with

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1 an upshifting, downshifting or retraining operation, which  
2 will be described in greater detail hereinafter in  
3 connection with a description of the preferred embodiment  
4 of the present invention.

5 The modem of Fig. 2 also includes demodulation and  
6 data recovery circuits 38 used for receiving and  
7 demodulating data from another remotely situated modem.  
8 When the modem of Fig. 2 acts as a receiving modem, data  
9 passes through transceiver 36 (where the transmitted  
10 compressed signal is expanded to its original dynamic  
11 range), interface 34 and filter 32 to the circuits 38. The  
12 demodulation rate is set based on the modulation rate.  
13 Accordingly, provision is made as a part of the link  
14 protocol for determining the modulated rate at which data  
15 is to be transmitted and setting the demodulation and data  
16 recovery circuits 38 accordingly.

17 According to the present invention, the modems of the  
18 system function to intermittently update, and change if  
19 necessary, the power level of a transmitted signal as a  
20 function of the line quality (i.e., in the preferred  
21 embodiment the location of the noise floor of the  
22 transmission channel) and an indication of the received  
23 level of the transmitted signal (i.e., in the preferred  
24 embodiment the received level is an indication of line  
25 attenuation) so as to approximate the power level for  
26 optimum transmission performance through the channel and  
27 accommodate changes in transmission characteristics of the  
28 channel.

29 More specifically, as indicated in Fig. 3, as is well  
30 known there is a relationship between what is referred to  
31 as the eye quality monitor (EQM) value and the signal to  
32 noise (S/N) ratio (and thus the position of the noise  
33 floor) of the transmission channel 14. Thus, the EQM value  
34 is one measure (when transmitting a QAM signal) of line  
35 quality. The EQM value is determined as the filtered  
36 squared magnitude of the error vector, the latter being  
37 defined as the angle and magnitude difference between an

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1 actual received signal point of a QAM signal, and its ideal  
2 location in the baseband signal plane. As is well known in  
3 the art the EQM value may be obtained by processing the  
4 error vector data to obtain a positive hexadecimal value  
5 whose magnitude is an indicator of the quality of the  
6 received signal or probability of error of received signal  
7 points. See Laiz, Carlos; "Quality of Received Data for  
8 Signal Processor-based Modems"; Rockwell International;  
9 Document No. 29220N71; Application Note Order No. 671;  
10 February, 1985; pages 1-20. In accordance with the the  
11 present invention, an EQM value is preselected as a  
12 function of the minimum permissible S/N so that the power  
13 level of the transmitted signal is as close to the noise  
14 floor as permitted without significant loss of information.  
15 The ideal power level is initially presumed to be -10dB,  
16 although this will vary in accordance with the principles  
17 of the present invention based upon the attenuation over  
18 the transmission channel. Accordingly, the modem of the  
19 present invention includes means 40, connected with the  
20 demodulation circuits 38, for providing a signal  
21 (preferably as a function of the EQM value determined from  
22 a signal received over the channel 14) to the  
23 microprocessor 18, representative of the line quality,  
24 i.e., preferably the current S/N as sensed, in real time,  
25 from the signals received from the remote modem, and thus  
26 the location of the noise floor of the channel 14.

27 While the EQM value provides a good indication of how  
28 far the received signal is from the noise floor in the  
29 communication channel, for a given level of transmitted  
30 signal, the level of the received signal (i.e., the line  
31 attenuation) can vary and thus, there is no indication of  
32 what the power level of signal should be when transmitting  
33 the signal over the channel 14 so as to provide a desired  
34 level of received signal. More specifically, as  
35 illustrated in Fig. 4, the power level of the transmitted  
36 signal drops as a function of the attenuation along the  
37 transmission channel. Ideally, the EQM value of the

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1 received signal should be representative of a S/N as small  
2 as possible without the noise masking the signal so as to  
3 utilize as much of the dynamic range of the transmission  
4 channel as possible. Thus, if a particular line  
5 attenuation is assumed and the power level is set based  
6 upon a particular EQM value which place the received signal  
7 as close as possible to the noise floor at the receiving  
8 end, a line providing greater attenuation may result in the  
9 signal falling below the noise floor, while a line  
10 providing less attenuation may result in signal saturation.  
11 Accordingly, means 42, connected with the means 40, are  
12 provided for intermittently measuring, in real time, the  
13 attenuation along the channel 14 so that the power level  
14 can be set so that the EQM value at the received end of the  
15 channel 14 is at the appropriate preselected value. Means  
16 42 therefore provides a signal representative of the line  
17 attenuation of the channel 14, referred to in the preferred  
18 embodiment as the "AGC value". Preferably, the line  
19 attenuation is intermittently checked by transmitting a  
20 signal as a known power level and measuring the power level  
21 of the received signal.

22 According to the present invention, the preferred  
23 modem of Fig. 2 intermittently checks and, if necessary,  
24 changes the power level of the transmitted signal from one  
25 modem to another by determining the EQM value provided by the  
26 EQM means 40 and the AGC value provided by means 42. Each  
27 time the EQM and AGC values are determined at the remote  
28 modem, the values are transmitted back as a part of the  
29 link protocol. Having the two measurements provides an  
30 accurate measure of line transmission characteristics so  
31 that the transmit power level can be set as low as possible  
32 without the transmitted signal falling below the noise  
33 floor.

34 The optimization is preferably performed  
35 intermittently and in real time so that changes in the  
36 transmitting environment will result in changes in  
37 transmitted power level thereby maintaining optimum

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1 throughput.

2 In accordance with the present invention the  
3 optimization of the transmitted power level is performed  
4 during upshifts or downshifts of the modulation rate of the  
5 transmitted signal, or during retraining when two modems  
6 are reconnected. Referring to Figs. 5-7, the flow diagrams  
7 show the operation of the modem in carrying out the  
8 principles of the present invention, and preferably use the  
9 MNP protocol to transmit local data and receive remote  
10 data. The preferred program code for carrying out the  
11 steps of the optimization of the power level is carried out  
12 in the microprocessor 18, and is described and shown in  
13 Appendix A.

14 Specifically referring to Fig. 5, the steps described,  
15 with the exception of steps 104, 107 and 112, are well  
16 known as a part of the error control function of the MNP  
17 protocol and are described as a part of the preferred  
18 embodiment within which the principles of the present  
19 invention are utilized. As shown in Fig. 5, the error  
20 correction function of microprocessor 18 polls the hardware  
21 to obtain the values of EQM and AGC from means 40 and 42  
22 necessary to carry out error correction and adjust the  
23 power level in accordance with the present invention. In  
24 this regard the system generates the link management idle  
25 packet in order to establish a connection between the two  
26 modems. Specifically, at step 101 of Fig. 5, the protocol  
27 link is established, i.e., the originating modem sends a  
28 link request to the remote modem. The receiving modem  
29 receives and evaluates the link request to determine what  
30 it can support and sends back similar information. In this  
31 regard the information exchanged between the two modems  
32 include the current values of EQM and AGC, which as will be  
33 more evident hereinafter determines the initial power level  
34 at which the signal is to be transmitted as indicated at  
35 step 102. Initially, these values are set for a power  
36 level of -10dB. After an initial settling time the values  
37 of EQM and AGC are read. In the preferred embodiment in

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1 accordance with the MNP protocol, if not already set at the  
2 highest modulation rate, it is preferred that the latter  
3 initially is chosen as the initial transmission rate at  
4 step 103.

5 Step 104 is the step at which the line quality is  
6 checked, and is described in the form of a series of  
7 substeps shown in flow diagram form in Fig. 6. Referring  
8 to Fig. 6, step 104 includes steps 201-222, all of which  
9 are intended to be a part of the MNP protocol, with steps  
10 202, 206 and 215 being inserted within the protocol  
11 according to the principles of the present invention. More  
12 particularly, the subset of steps are designed to check the  
13 line quality. If the link management idle frame is  
14 received at step 201, the next transmit level is calculated  
15 at step 202 and in particular in accordance with the subset  
16 of steps shown in Fig. 7.

17 Referring to Fig. 7, calculations are made to  
18 determine the next transmit level so that the values can be  
19 updated at steps 206 and 215, described hereinafter.  
20 Specifically, at step 301 the values of EQM and AGC are  
21 validated. If the transmitting modem is unable to  
22 determine values provided by the remote modem, the  
23 transmitting modem transmits an indication of such  
24 (preferably an FFHex byte) within the LMI frame as a part  
25 of step 108 or 113 of Fig. 5, described hereinafter. The  
26 subset of steps of Fig. 7 then returns to step 203 of Fig.  
27 6. If however, updated values can be determined, they are  
28 adjusted at steps 302 and 303 by the microprocessor. If,  
29 for example, the initial transmit level is set at -22dB and  
30 the level is received at -30dB, the line attenuation is -  
31 8dB (the difference between the transmit and received  
32 levels). The preferred transmit power level at which the  
33 compander will provide unity gain is determined at step 302  
34 based on the AGC value received from the other modem and  
35 the current transmit power level. In addition, the minimum  
36 transmit power level at which the noise floor will not  
37 interfere with the data transmission is determined at step

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1 303 based on the AGC and EQM value received from the other  
2 modem and current transmit power level. Given the two  
3 measurements, the microprocessor utilizes an empirically  
4 determined table, shown in Appendix A to adjust the signal  
5 strength (power level) of the transmitted signal at step  
6 302 based on one of the two measurements made at steps 302  
7 and 303. The values in the table of Appendix A have been  
8 empirically determined. As to which measurement is used to  
9 set the next power level will depend of the EQM value. If  
10 the EQM value indicates a high noise level at step 304, the  
11 processor will utilize the data acquired at step 303 to set  
12 the power transmit level from the table of Appendix A, as  
13 indicated at step 306. If, however, the EQM value  
14 indicates an acceptable noise level at step 304, the  
15 microprocessor proceeds to step 305 and calculates the new  
16 power level based on the AGC number from the table of  
17 Appendix A. In either event the microprocessor returns to  
18 step 203 shown in Fig. 6. Referring again to Fig. 6,  
19 once the next transmit level has been determined, or if at  
20 step 201 a link management idle frame has not been  
21 received, the program proceeds to step 203 to see if the  
22 "fall back" command has been received. If the fall back  
23 command is received, indicating that the remote modem has  
24 decided to downshift so that the current modem will receive  
25 data at a slower rate, the microprocessor will provide an  
26 acknowledgement at step 204. The modem will first update  
27 the power level at which the modem will transmit at step  
28 206 before proceeding to step 207 where the modulation rate  
29 is actually changed to the next lower rate. At step 208  
30 the system checks to insure the downshift is successful,  
31 and if so the modem proceeds to step 105 of Fig. 5. If,  
32 however, the modem is not successful at step 208, the modem  
33 proceeds to step 205 to again try a fall back to a slower  
34 modulation rate. If successful at step 205, the system  
35 returns to step 206. However, if not, the modem proceeds  
36 to disconnect.

37 If at step 203 of Fig. 6 the fall back command is not

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1 received, the microprocessor proceeds to step 209, the  
2 quality of the line is measured at step 209 by sensing the  
3 EQM value provided in the EQM means 40 so as to determine  
4 whether the modem should downshift. If yes, the  
5 microprocessor proceeds to step 210 to determine whether  
6 the modem can operate at a slower speed. If yes, the modem  
7 sends a fall back command at step 211 and proceeds through  
8 steps 206, 207 and 208, (and step 205 if necessary) as  
9 previously described. If, however, the modem cannot  
10 downshift as determined at step 210 (the modem is operating  
11 at its slowest speed), or if at step 209 the line quality  
12 is not judged to be bad, the microprocessor proceeds to  
13 step 212.

14 At step 212, the modem checks to see if a fall forward  
15 command has been received from the remote modem, indicating  
16 that the remote modem wishes to operate at a faster  
17 modulation rate. At step 213 an inquiry is made as to  
18 whether the modem can operate at a faster speed, and if not  
19 the microprocessor proceeds to step 218 to send a fall  
20 forward negative acknowledgement indicating to the remote  
21 modem that the modem cannot operate at the faster speed.  
22 The program then returns to step 105 of the flow chart of  
23 Fig. 5. If, however, an upshift can occur the program  
24 proceeds to step 214, whereupon a fall forward  
25 acknowledgement signal is sent to the remote modem at 214,  
26 the transmit level data is updated (in an identical way as  
27 described above with respect to step 206, and substeps 301-  
28 306). The modulation rate is upshifted at step 216, and  
29 the system checks to be sure the upshift was successful at  
30 step 217. If not the system repeats the steps 206, 207,  
31 208 (and if necessary 205) by again updating the transmit  
32 level and changing the modulation rate. If once again  
33 unsuccessful the system disconnects. If successful at step  
34 208 or step 217, the system returns to step 105 of Fig. 5.

35 If a fall forward command is not received from the  
36 remote modem, the system proceeds to step 219. The line  
37 quality is again checked by reading the EQM value. If the

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1 line quality is still good, a determination is made whether  
2 to upshift at step 220. If yes, the system sends a fall  
3 forward command to the remote modem and waits for the fall  
4 forward acknowledgement signal to return at step 222. If  
5 the latter signal is received the system proceeds through  
6 steps 215, 216 and 217, and if unsuccessful at step 217,  
7 proceeds through steps 206, 207 and 208 (and step 205, if  
8 necessary). If unsuccessful at step 205, the system  
9 disconnects. If successful at step 217, or subsequently  
10 successful at step 208 the system returns to step 105 of  
11 Fig. 5. Similarly, if the line quality is judged at step  
12 219 to be bad, or the modem cannot upshift at step 220, or  
13 the fall forward acknowledgement signal is not received at  
14 step 222, the system similarly returns to step 105.

15 Referring again to Fig. 5, at step 105, the  
16 microprocessor determines whether a data packet is to be  
17 sent. An idle timer is set at the end of the transmission  
18 of each data packet and allowed to run until the next  
19 packet is sent. Thus, the idle timer can be used to  
20 determine whether the two connected modems are idle (no  
21 data is being sent). The modems are considered idle if no  
22 data is sent within a predetermined period of time, e.g.,  
23 1.0 seconds. Thus, if no data packet is to be sent at step  
24 105 the microprocessor proceeds to step 106 to determine  
25 whether the idle timer has expired. If no, the  
26 microprocessor proceeds back to step 104. If the idle  
27 timer has expired, the microprocessor proceeds to step 107  
28 where the current EQM and AGC values are read from the EQM  
29 means 40 and AGC means 42. With the modems being  
30 determined in the idle state, the link management idle  
31 frame or packet is sent as indicated at step 108. The idle  
32 timer is then reset at step 109 and the program returns to  
33 step 104.

34 If at step 105 data is to be sent, the program  
35 proceeds to step 110, wherein the receiving modem checks to  
36 be sure no that no errors in the packet received from the  
37 transmitting modem have occurred. If no, the next data

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1 packet can be sent as indicated at step 111, and the  
2 program proceeds to reset the idle time at step 109 before  
3 starting over at step 104. If an error is discovered at  
4 step 110 the signal strength and quality are both read at  
5 step 112 (in the same manner as step 107), and an link  
6 management frame is sent at step 113 (in the same manner as  
7 step 108), as described in greater detail in Fig. 7. From  
8 step 113, the program proceeds to step 114 whereupon the  
9 NAK'D (negative acknowledgement) data packet is  
10 retransmitted, the idle timer 109 is reset at step 109 and  
11 the program restarts at step 104.

12 The modem and its operation thus described provides an  
13 improved system for and method of transmitting data in  
14 which the power level of the transmitted signal is adaptive  
15 to line conditions so as to optimize transmission  
16 performance. The optimum power level of the transmitted  
17 signal is intermittently determined in real time as a  
18 function of the line conditions. The transmitted power  
19 level is updated when checking whether to upshift or  
20 downshift the modulation rate, or retraining to reconnect  
21 modems. The system and method are particularly useful for  
22 compressed signals transmitted over a transmission channel  
23 in which the power level of the transmitted signal is  
24 intermittently optimized as a function of the noise level  
25 within and the attenuation across the communication  
26 channel.

27 Since certain changes may be made in the above process  
28 and apparatus without departing from the scope of the  
29 invention herein involved, it is intended that all matter  
30 contained in the above description or shown in the  
31 accompanying drawing shall be interpreted in an  
32 illustrative and not in a limiting sense.

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CLAIMS

What is claimed is:

1           1.       A system for optimizing conditions for  
2       transmitting and receiving data signals over a transmission  
3       medium having transmission characteristics which may change  
4       over time, said system comprising:  
5           means for intermittently sensing the transmission  
6       characteristics of said transmission medium; and  
7           means for adjusting the power level of data signals  
8       transmitted by said system over said transmission medium as  
9       a function of said sensed transmission characteristics so  
10       as to optimize transmission performance.

1           2.       A system according to claim 1, wherein said means  
2       for intermittently sensing the transmission characteristics  
3       of said transmission medium includes means for generating  
4       a signal as a function of the line quality , and means for  
5       generating a signal as a function of the signal attenuation  
6       along said medium.

1           3.       A system according to claim 2, wherein said means  
2       for generating a signal as a function of the line quality  
3       generates said signal as a function of signal to noise  
4       ratio of a received signal transmitted through said medium.

1           4.       A system according to claim 3, wherein said signal  
2       transmitted over said transmission medium is quadrature  
3       amplitude modulated, and said means for generating a signal  
4       as a function of the signal to noise ratio includes means  
5       for determining the eye quality monitor value of said  
6       received signal.

1           5.       A system according to claim 2, wherein said means  
2       for generating a signal as a function of the attenuation  
3       along said transmission medium includes means for  
4       generating a signal at an initial power level along said

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5 medium so that the attenuation can be measured along said  
6 medium.

1 6. A system according to claim 2, wherein said means  
2 for adjusting the power level of data signals transmitted  
3 by said system over said transmission medium as a function  
4 of said sensed transmission characteristics includes means  
5 for storing a table of values empirically determined as the  
6 appropriate values of transmitted power levels as a  
7 function of the line quality and line attenuation.

1 7. A system according to claim 2, wherein said means  
2 for generating a signal as a function of the attenuation  
3 along said transmission medium includes means for  
4 generating a signal at an initial power level along said  
5 medium so that the attenuation and line quality can be  
6 measured along said medium.

1 8. A method of optimizing conditions for transmitting  
2 and receiving data signals over a transmission medium  
3 having transmission characteristics which may change over  
4 time, said method comprising the steps of:  
5 intermittently sensing the transmission  
6 characteristics of said transmission medium; and  
7 adjusting the power level of data signals transmitted  
8 over said transmission medium as a function of said sensed  
9 transmission characteristics so as to optimize transmission  
10 performance.

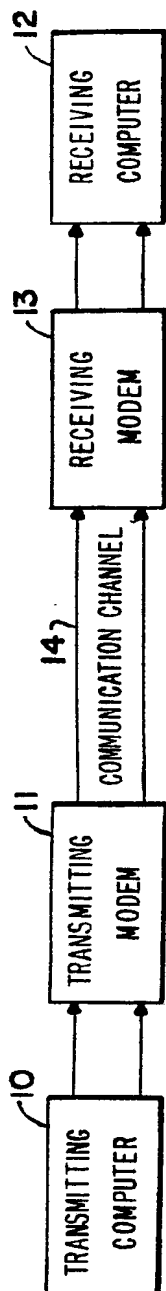
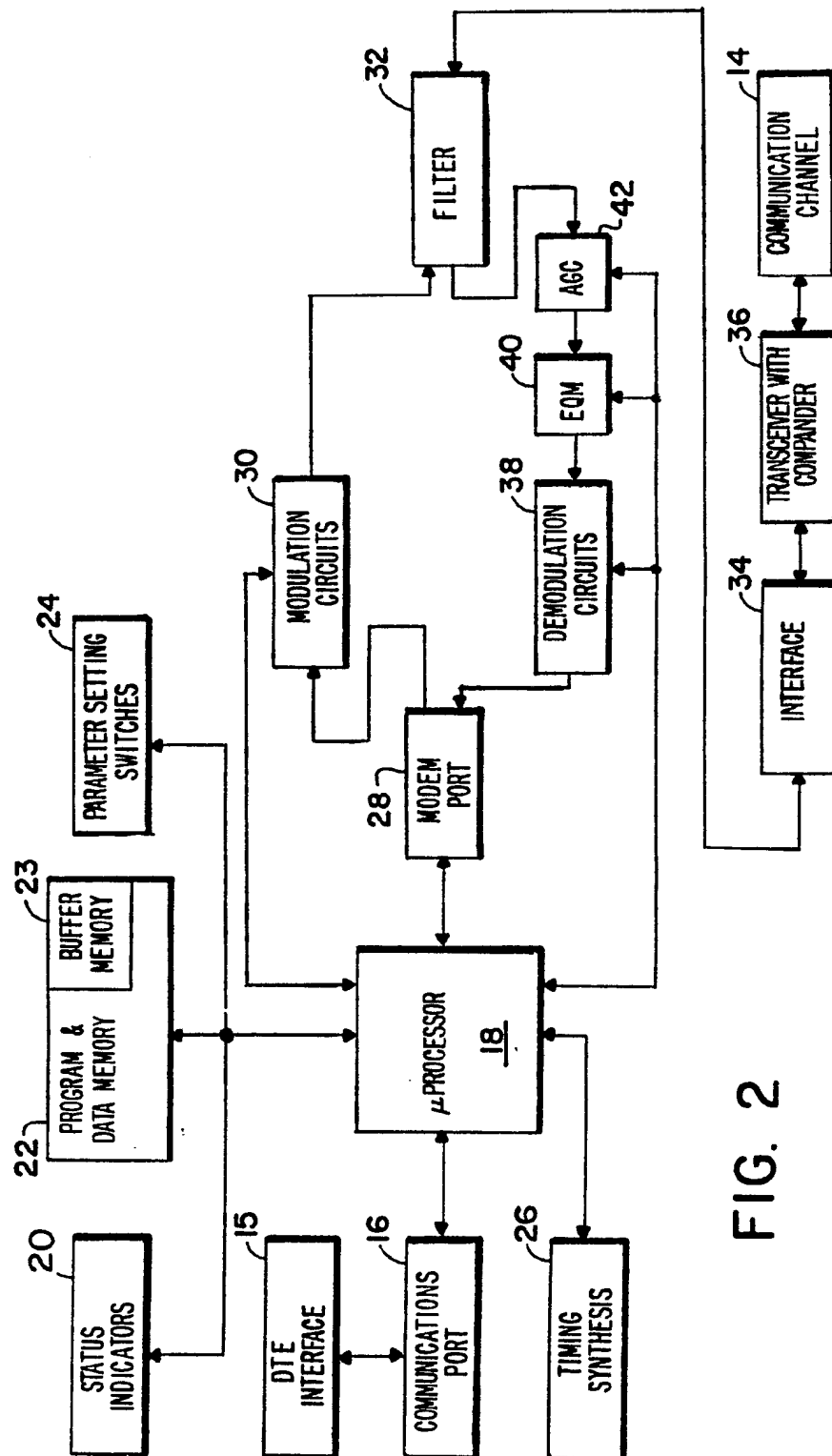


FIG. 1



**FIG. 2**

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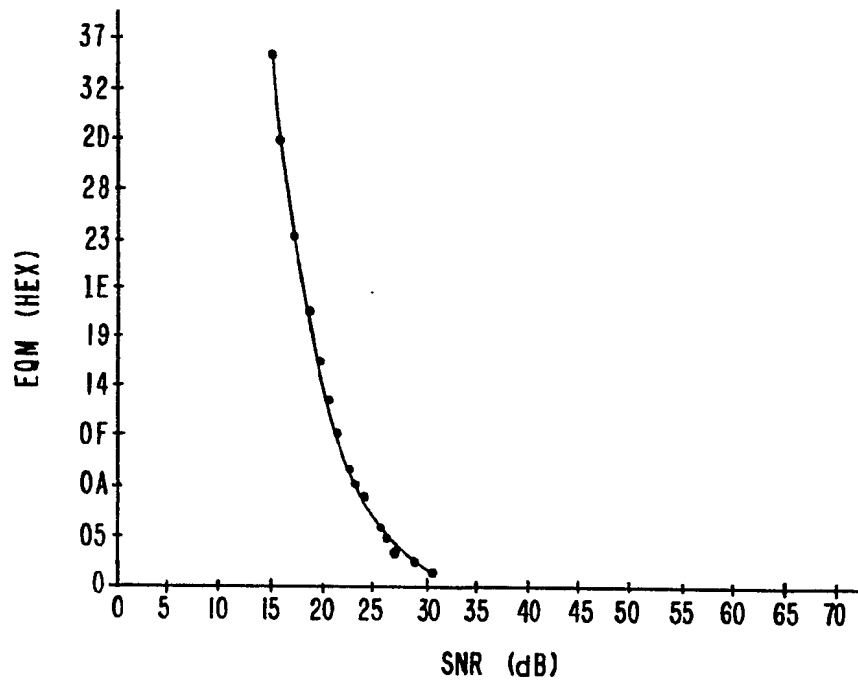


FIG. 3

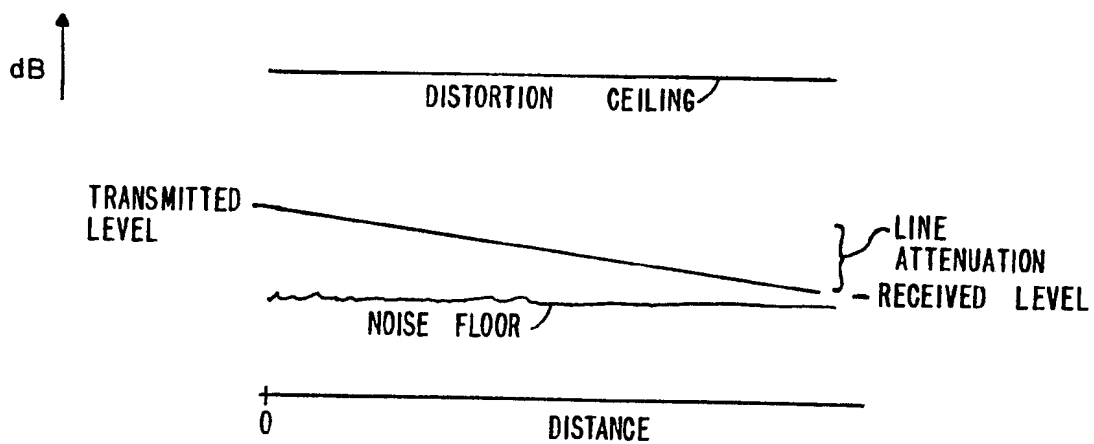


FIG. 4

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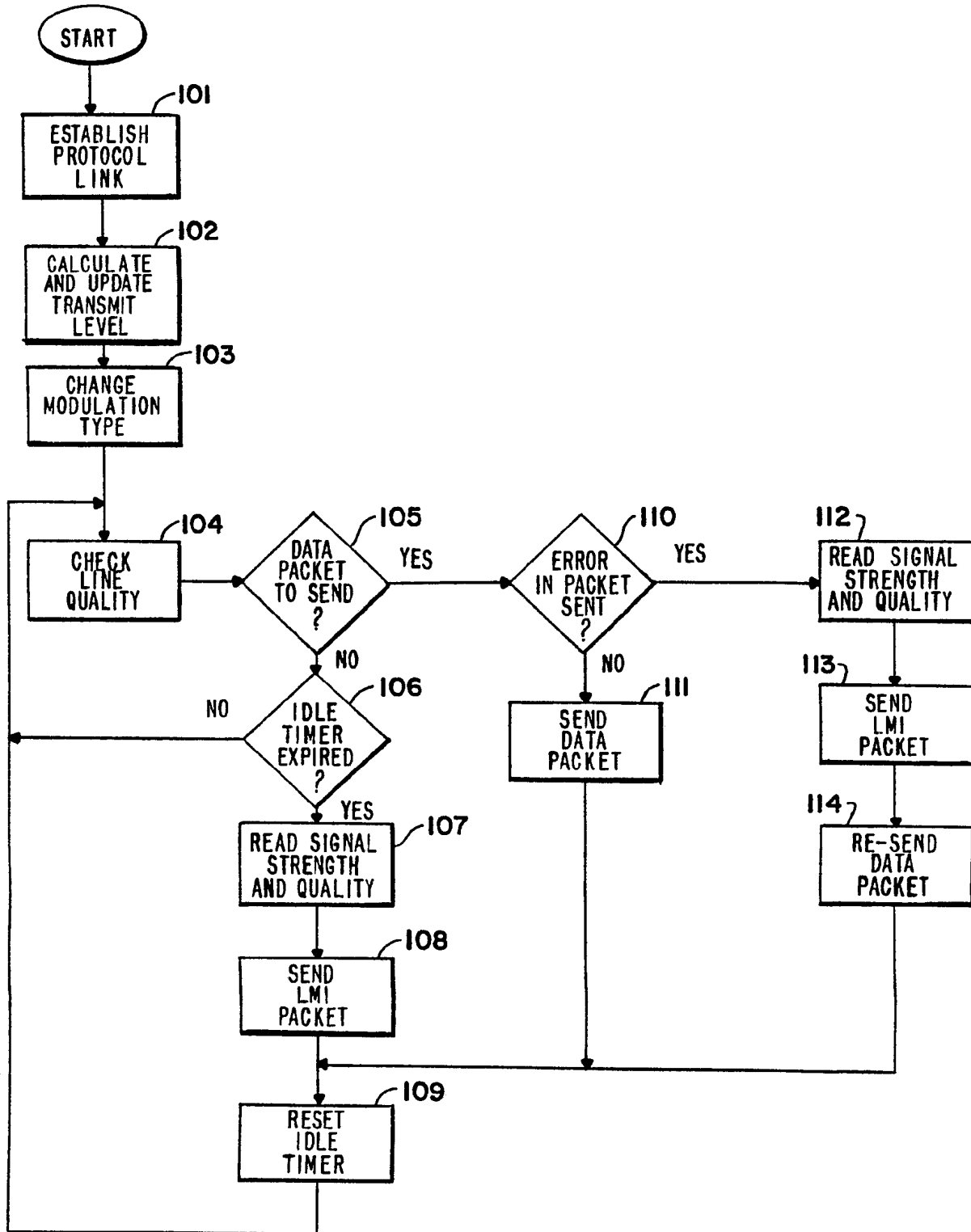
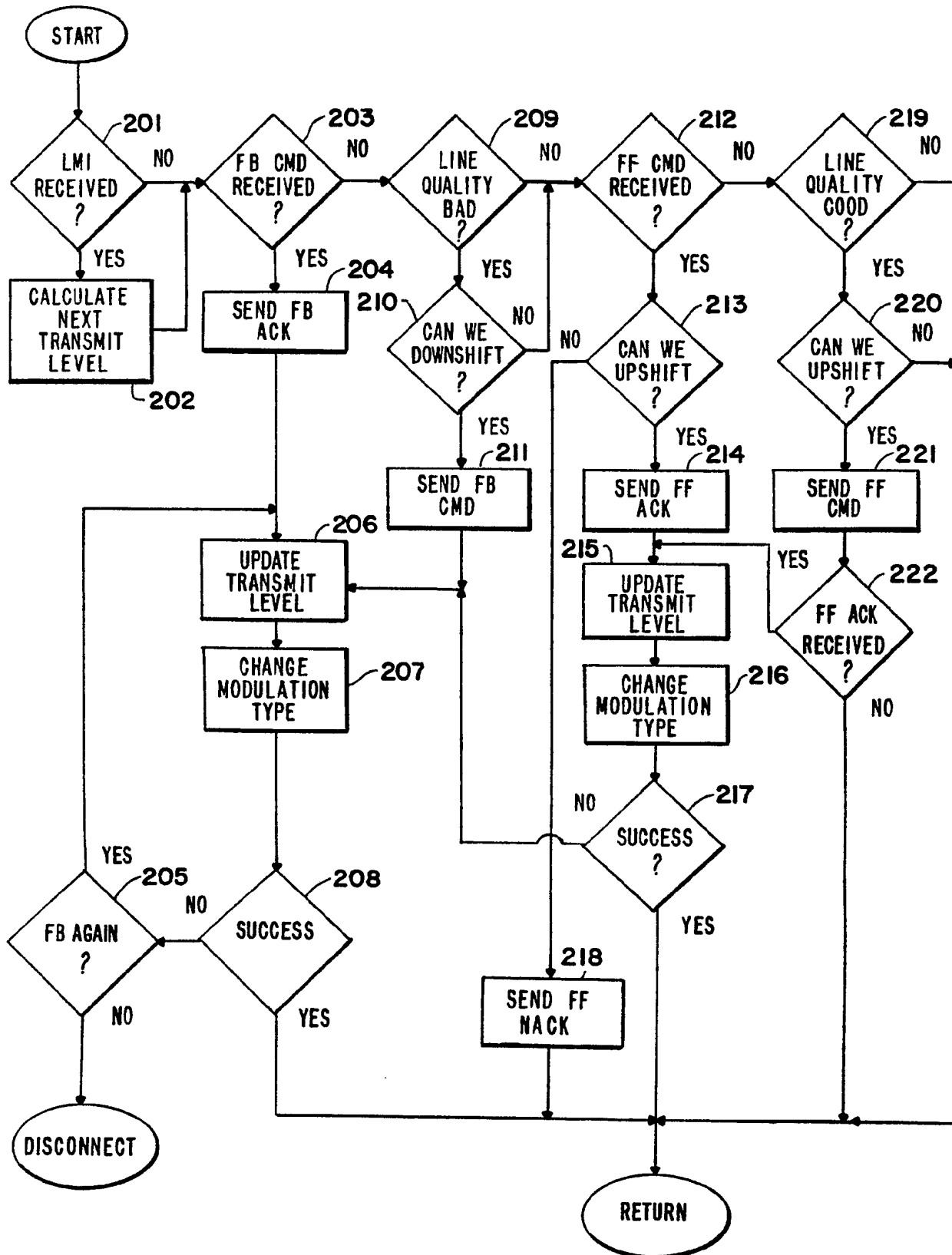


FIG. 5

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**FIG. 6**  
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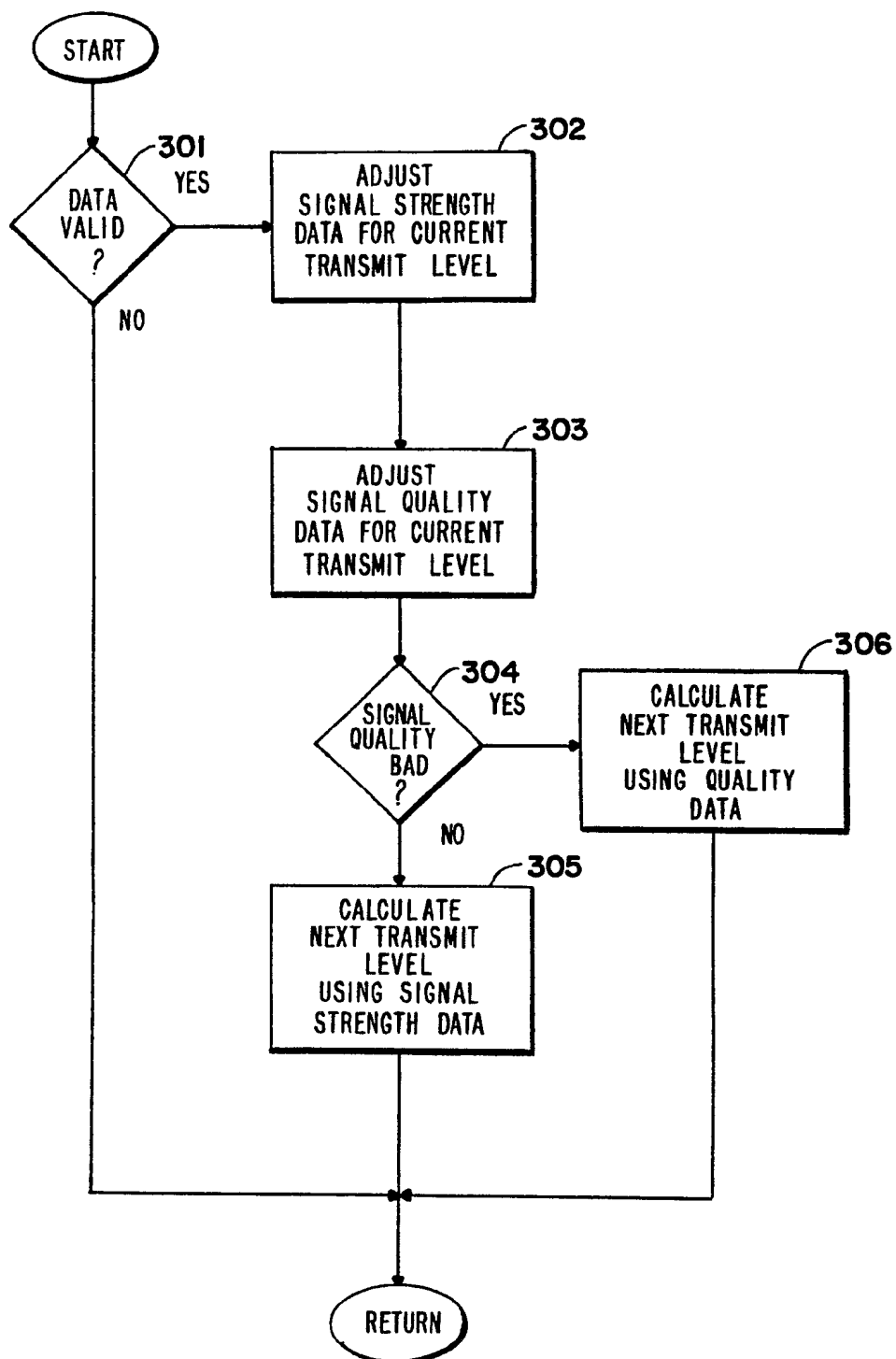


FIG. 7

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## INTERNATIONAL SEARCH REPORT

International application No.  
PCT/US92/05347

**A. CLASSIFICATION OF SUBJECT MATTER**

IPC(5) :H04B 1/10, H04L 27/08

US CL :375/58

According to International Patent Classification (IPC) or to both national classification and IPC

**B. FIELDS SEARCHED**

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 375/98.99; 455/10,52.1,69,70,72; 332/107

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

**C. DOCUMENTS CONSIDERED TO BE RELEVANT**

Category*	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
Y,E	US, A, 5,128,965 (HENRIKSSON) 07 July 1992, Fig. 1.	1,8
Y	US, A, 4,910,792 (TAKAHATA ET AL.) 20 March 1990, Fig. 5 or Fig. 6.	1,8
Y	US, A, 4,309,771 (WILKENS) 05 January 1982, Fig. 2 and Fig. 4.	1,4,8
A	US, A, 4,004,224 (ARENS ET AL.) 18 January 1977.	1,8
A	LAIZ, CARLOS, "Quality of Received Data for Signal Processor-Based Modems"; Rockwell International; document No. 2922ON71; Application Note Order No. 671; 2/85; pgs. 1-20.	3, 4

☐ Further documents are listed in the continuation of Box C. ☐ See patent family annex.

* Special categories of cited documents:	
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*L* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	*Y* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
*O* document referring to an oral disclosure, use, exhibition or other means	*G* document member of the same patent family
*P* document published prior to the international filing date but later than the priority date claimed	

Date of the actual completion of the international search

13 AUGUST 1992

Date of mailing of the international search report

29 OCT 1992

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